

OFFICE OF FINANCIAL AND INSURANCE SERVICES

JOB VACANCY NOTICE

CLASS/LEVEL: Financial Institutions Examiner 9-P11

DIVISION/SECTION: Market Conduct/Securities

DEADLINE TO RESPOND: 2/24/05

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 INTERESTED APPLICANTS SHOULD SUBMIT A COPY OF COLLEGE TRANSCRIPTS (INTERNET BASED TRANSCRIPTS WILL NOT BE ACCEPTED), RESUME, OFIS APPLICATION AND COVER LETTER TO DLEG, OFFICE OF FINANCIAL AND INSURANCE SERVICES, HUMAN RESOURCES/BUDGET DIVISION/OFIS 05-05, P.O. BOX 30224, LANSING, MICHIGAN 48909 OR FAX TO (517) 335-1450 BY THE DEADLINE DATE.

|                         |                                                                                                                                                                                                                                           |                                                                                                                                |
|-------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|
| COUNTY/LOCATION         | Wayne/Eastern Region                                                                                                                                                                                                                      |                                                                                                                                |
| PAY RANGE               | \$16.03-\$26.20/hour                                                                                                                                                                                                                      |                                                                                                                                |
| DESCRIPTION OF POSITION | Perform as Examiner-in-Charge (EIC) of noncomplex securities entities and assist in the examination of these entities as required by the Uniform Securities Act, PA 265 of 1964.                                                          |                                                                                                                                |
| EDUCATION               | Possession of Bachelor's degree with a business major. Degree program must include completion of a business core curriculum consisting of courses in finance, law, marketing, management, and 8 semester (12 term) credits in accounting. |                                                                                                                                |
| EXPERIENCE              | No specific amount or type is required.                                                                                                                                                                                                   |                                                                                                                                |
| SPECIAL REQUIREMENTS    |                                                                                                                                                                                                                                           |                                                                                                                                |
| RESPOND TO              | Posting No.:                                                                                                                                                                                                                              | OFIS 05-05                                                                                                                     |
|                         | Address:                                                                                                                                                                                                                                  | DLEG, Office of Financial & Insurance Services, Human Resources/Budget Division/OFIS 05-05, P. O. Box 30224, Lansing, MI 48909 |
|                         | E-Mail Address:                                                                                                                                                                                                                           |                                                                                                                                |
|                         | Fax:                                                                                                                                                                                                                                      | (517) 335-1450                                                                                                                 |

The State of Michigan is an Equal Opportunity Employer  
 Civil Service Rule 1-7 states: All persons offered employment in the classified service are required to submit to and pass a pre-employment drug test as a condition of employment

**This is an announcement of a position vacancy and does not constitute an offer of employment.**

**1. Position Code**  
FIEXMEA08N

**State of Michigan**  
**Department of Civil Service**  
Capitol Commons Center, P.O. Box 30002  
Lansing, MI 48909

Federal privacy laws and/or state  
confidentiality requirements protect  
a portion of this information.

**POSITION DESCRIPTION**

This form is to be completed by the person that occupies the position being described and reviewed by the supervisor and appointing authority to ensure its accuracy. It is important that each of the parties sign and date the form. If the position is vacant, the supervisor and appointing authority should complete the form.

This form will serve as the official classification document of record for this position. Please take the time to complete this form as accurately as you can since the information in this form is used to determine the proper classification of the position. **THE SUPERVISOR AND/OR APPOINTING AUTHORITY SHOULD COMPLETE THIS PAGE.**

|                                                                                                                  |                                                                                                         |
|------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| <b>2. Employee's Name (Last, First, M.I.)</b>                                                                    | <b>8. Department/Agency</b><br><br>LABOR & ECONOMIC GROWTH                                              |
| <b>3. Employee Identification Number</b>                                                                         | <b>9. Bureau (Institution, Board, or Commission)</b><br><br>OFFICE OF FINANCIAL AND INSURANCE SERVICES  |
| <b>4. Civil Service Classification of Position</b><br><br>FINANCIAL INSTITUTIONS EXAMINER 9                      | <b>10. Division</b><br><br>OFFICE OF POLICY, CONDUCT & CONSUMER ASSIST                                  |
| <b>5. Working Title of Position (What the agency titles the position)</b><br><br>EXAMINER TRAINEE                | <b>11. Section</b><br><br>MARKET CONDUCT DIVISION                                                       |
| <b>6. Name and Classification of Direct Supervisor</b><br>LINDA CENA, DEPARTMENTAL MANAGER 15                    | <b>12. Unit</b><br><br>SECURITIES SECTION                                                               |
| <b>7. Name and Classification of Next Higher Level Supervisor</b><br>JOYCE KARR, STATE DIVISION ADMINISTRATOR 17 | <b>13. Work Location (City and Address)/Hours of Work</b><br><br>8:00 A.M. - 5:00 P.M., MONDAY - FRIDAY |

**14. General Summary of Function/Purpose of Position**  
Perform as Examiner-in-Charge (EIC) of noncomplex securities entities and assist in the examination of these entities as required by the Uniform Securities Act, PA 265 of 1964.

**For Civil Service Use Only**

15. Please describe your assigned duties, percent of time spent performing each duty, and explain what is done to complete each duty.

List your duties in the order of importance, from most important to least important. The total percentage of all duties performed must equal 100 percent.

Duty 1

General Summary of Duty 1

% of Time 100

EXAMINER TRAINEE

Individual tasks related to the duty.

- Assist in the on-site examination and investigation of securities entities and debt management companies, under the supervision of a senior examiner, to determine that licensees' financial condition meets statutory requirements and to ensure that they are operating in accordance with state and federal statutes and in a safe and sound manner.

Duty 2

General Summary of Duty 2

% of Time \_\_\_\_\_

Individual tasks related to the duty.

-

Duty 3

**General Summary of Duty 3**

**% of Time** \_\_\_\_\_

**Individual tasks related to the duty.**

- 

Duty 4

**General Summary of Duty 4**

**% of Time** \_\_\_\_\_

**Individual tasks related to the duty.**

-

Duty 5

**General Summary of Duty 5**

**% of Time** \_\_\_\_\_

**Individual tasks related to the duty.**

- 

Duty 6

**General Summary of Duty 6**

**% of Time** \_\_\_\_\_

**Individual tasks related to the duty.**

-

16. Describe the types of decisions you make independently in your position and tell who and/or what is affected by those decisions. Use additional sheets, if necessary.

Adjustments in the scope of an on-site examination when unforeseen/questionable procedures or practices occur which may affect the outcome of the examination and the licensee's overall performance rating.

17. Describe the types of decisions that require your supervisor's review.

Decisions that are not covered by examination procedures, bureau policy or guidelines.

18. What kind of physical effort do you use in your position? What environmental conditions are you physically exposed to in your position? Indicate the amount of time and intensity of each activity and condition. Refer to instructions on page 2.

Field examiners are temporarily assigned to various locations throughout Michigan for one or two days up to several weeks. Their duties and tasks are performed in temporary office facilities provided by the financial services entities being examined and include considerable sitting, occasional standing and walking, limited lifting, microcomputer usage and normal office routines. Position requires daily in-state travel by automobile and out-of-state travel usually by air. Overnight travel is required.

19. List the names and classification titles of classified employees whom you immediately supervise or oversee on a full-time, on-going basis. (If more than 10, list only classification titles and the number of employees in each classification.)

NAME

CLASS TITLE

NAME

CLASS TITLE

20. My responsibility for the above-listed employees includes the following (check as many as apply):

- |                                                             |                                                            |
|-------------------------------------------------------------|------------------------------------------------------------|
| <input type="checkbox"/> Complete and sign service ratings. | <input type="checkbox"/> Assign work.                      |
| <input type="checkbox"/> Provide formal written counseling. | <input type="checkbox"/> Approve work.                     |
| <input type="checkbox"/> Approve leave requests.            | <input type="checkbox"/> Review work.                      |
| <input type="checkbox"/> Approve time and attendance.       | <input type="checkbox"/> Provide guidance on work methods. |
| <input type="checkbox"/> Orally reprimand.                  | <input type="checkbox"/> Train employees in the work.      |

21. I certify that the above answers are my own and are accurate and complete.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**NOTE: Make a copy of this form for your records.**

**TO BE COMPLETED BY DIRECT SUPERVISOR**

- 22. Do you agree with the responses from the employee for Items 1 through 20? If not, which items do you disagree with and why?**  
I agree.

- 23. What are the essential duties of this position?**  
Perform as EIC of the evaluation of noncomplex securities entities.

- 24. Indicate specifically how the position's duties and responsibilities have changed since the position was last reviewed.**

- 25. What is the function of the work area and how does this position fit into that function?**  
This section is responsible for examination and investigation and licensing securities entities as required by state and federal statutes. Position performs as EIC of the evaluation of noncomplex securities entities.

**26. In your opinion, what are the minimum education and experience qualifications needed to perform the essential functions of this position.**

**EDUCATION:**

Possession of Bachelor's degree with a business major. Degree program must include completion of a business core curriculum consisting of courses in finance, law, marketing, management, and 8 semester (12 term) credits in accounting.

**EXPERIENCE:**

No specific amount or type is required.

**KNOWLEDGE, SKILLS, AND ABILITIES:**

Employee must be able to learn, retain and apply complex financial theory and statutory requirements and function in a field/group environment with on-the-job supervision. Employee must possess the knowledge to analyze and assess the financial condition of financial institutions, the ability to make decisions that significantly impact operations and earnings, and able to work and communicate effectively with licensees' executives and bureau management and other state regulators. Employee must exercise considerable tact and diplomacy in dealing with complex, sensitive and confidential regulatory matters while conducting on-site examinations. Employee must be able to complete assignments within work schedules, work under considerable outside pressure and handle multiple and changing priorities.

**CERTIFICATES, LICENSES, REGISTRATIONS:**

***NOTE: Civil Service approval of this position does not constitute agreement with or acceptance of the desirable qualifications for this position.***

**27. I certify that the information presented in this position description provides a complete and accurate depiction of the duties and responsibilities assigned to this position.**

\_\_\_\_\_  
Supervisor's Signature

\_\_\_\_\_  
Date

**TO BE FILLED OUT BY APPOINTING AUTHORITY**

**28. Indicate any exceptions or additions to the statements of the employee(s) or supervisor.**

**29. I certify that the entries on these pages are accurate and complete.**

\_\_\_\_\_  
Appointing Authority's Signature

\_\_\_\_\_  
Date